

**DEPARTMENT OF THE TREASURY**  
**BUREAU OF ALCOHOL, TOBACCO AND FIREARMS**  
**APPLICATION FOR TAX-EXEMPT TRANSFER OF FIREARM AND**  
**REGISTRATION TO SPECIAL (OCCUPATIONAL) TAXPAYER National Firearms Act (Title 26, U.S.C. Chapter 53)**

1. TRANSFEREE'S NAME AND ADDRESS <i>(Show Trade Name, if any, and give number, street, city, State and ZIP Code, P.O. Box alone is not sufficient.)</i>  <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> SOLE PROPRIETOR         <input type="checkbox"/> PARTNERSHIP         <input type="checkbox"/> CORPORATION       </div>		To be submitted in duplicate by transferor of firearm  TO: National Firearms Act Branch Bureau of Alcohol, Tobacco and Firearms Washington, D.C. 20226
2a. TRANSFEROR'S NAME AND MAILING ADDRESS <i>(Show Trade Name, if any)</i>  <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> SOLE PROPRIETOR         <input type="checkbox"/> PARTNERSHIP         <input type="checkbox"/> CORPORATION       </div>		2b. NUMBER, STREET, CITY, STATE AND ZIP CODE OF LICENSED PREMISES IF DIFFERENT FROM ITEM 2a.  2c. TELEPHONE NO. <i>(Include Area Code)</i>

The above-named and undersigned transferor and special (occupational) taxpayer hereby makes application as required by Section 5812 of the National Firearms Act to transfer, without payment of tax, and register the firearm described below to the special *(occupational)* taxpayer identified as the transferee in this application.

3. DESCRIPTION OF FIREARM <i>(Complete items a through h, if applicable)</i> a. NAME AND ADDRESS OF MANUFACTURER AND/OR IMPORTER OF FIREARM  b. TYPE OF FIREARM <i>(Short barreled rifle, machine gun, destructive device, any other weapon, etc.)</i>  c. CALIBER, GAUGE OR SIZE <i>(Specify)</i>			d. MODEL  LENGTH <i>(Inches)</i> e. OF BARREL: f. OVERALL:  g. SERIAL NUMBER
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h. ADDITIONAL DESCRIPTION OR DATA APPEARING ON FIREARM *(Attach additional sheet if necessary)*

4. TRANSFEREE'S FEDERAL FIREARMS LICENSE <i>(If any)</i> <i>(Give complete 15-digit number)</i> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; border-bottom: 1px solid black;">First 6 digits</td> <td style="width: 25%; border-bottom: 1px solid black;">2 digits</td> <td style="width: 25%; border-bottom: 1px solid black;">2 digits</td> <td style="width: 25%; border-bottom: 1px solid black;">5 digits</td> </tr> <tr> <td style="height: 20px;"></td> <td></td> <td></td> <td></td> </tr> </table>	First 6 digits	2 digits	2 digits	5 digits					5. TRANSFEREE'S SPECIAL (OCCUPATIONAL) TAX STATUS <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; border-bottom: 1px solid black;">a. EMPLOYER IDENTIFICATION NUMBER</td> <td style="width: 50%; border-bottom: 1px solid black;">b. CLASS</td> </tr> <tr> <td style="height: 20px;"></td> <td></td> </tr> </table>	a. EMPLOYER IDENTIFICATION NUMBER	b. CLASS		
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I believe I am entitled to exemption from payment of the transfer tax imposed by Section 5811, National Firearms Act (NFA), on the firearm described above because the transferee named herein is qualified under the NFA to manufacture, import or deal in that type of firearm.

UNDER PENALTIES OF PERJURY, I DECLARE that I have examined this application, and to the best of my knowledge and belief it is true, correct and complete.

8. ORIGINAL SIGNATURE OF TRANSFEROR <i>(Or authorized official)</i>	9. NAME AND TITLE OF AUTHORIZED OFFICIAL <i>(Print or type)</i>	10. DATE
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**THE SPACE BELOW IS FOR THE USE OF THE BUREAU OF ALCOHOL, TOBACCO AND FIREARMS**

BY AUTHORITY OF THE DIRECTOR, THIS APPLICATION HAS BEEN EXAMINED, AND THE TRANSFER AND REGISTRATION OF THE FIREARM DESCRIBED HEREIN AND THE INTERSTATE MOVEMENT OF THAT FIREARM, WHEN APPLICABLE, TO THE TRANSFEREE ARE:

☐ APPROVED *(with the following conditions, if any)*
☐ DISAPPROVED *(For the following reasons)*

AUTHORIZED ATF OFFICIAL

DATE

## INSTRUCTIONS

This form must be completed, in duplicate, and used only between those who have paid the appropriate fees to maintain a current Federal firearms license which is issued every three years and valid special (*occupational*) tax stamp which must be renewed every July 1st. The FFL and SOT stamp qualifies a person to import, manufacture or deal in National Firearms Act (NFA) firearms. The applicant must furnish all the information called for on the form. The transferor's and transferee's names must be shown exactly as they appear on the federal firearms license.

1. **PRINT** or type firearm **buyer's full name** including middle name and **address**. P.O. Box number, rural route or highway and box number and **trade name**.
- 2a. **PRINT** or type firearm **owner's full name** including middle and complete **address**, former and current **trade name**.
- 2b. The form will not be mailed to this address. It will be **returned** to the address in item 2a.
- 2c. The firearm **seller's telephone number**.
- 3a - g. **PRINT** or type **original manufacturer's** or importer's **name** and/or tradename and address and ensure that all of the information referencing the firearm is complete and accurate. See General Information below for more details.
- 3h. **PRINT** or type additional information referencing the firearm, such as a complete description including serial number of the Title I firearm into which a registered auto sear may be placed.
4. **PRINT** or type firearm **buyer's VALID** 15 digit FFL #.
- 5a. **PRINT** or type firearm **buyer's VALID** 9 digit EIN #.
- 5b. Is the firearm **buyer** a **Class** 1, 2, or 3?
6. **PRINT** or type firearm **owner's VALID** 15 digit FFL #.
- 7a. **PRINT** or type firearm **owner's VALID** 9 digit EIN #.
- 7b. Is the firearm **owner** a **Class** 1, 2, or 3?
8. Firearm **owner's original signature**.
9. **PRINT** or type firearm **owner's name** and **title**.
10. **DATE** firearm **owner prepared**.

## GENERAL INFORMATION

1. **Ensure that the state** in which the firearm buyer resides **does not prohibit NFA firearms**. See "Firearms State Laws and Published Ordinances", ATF P 5300.5.
2. Prior to completing and **mailing** the Form 3 to the NFA Branch, BATF, Wash., DC 20226, please **make a physical examination of the firearm to ensure that the information in items 3a - g is complete and accurate and matches the information permanently placed on the firearm**.
3. The firearm **owner can not deliver** the firearm to the firearm buyer until the approved form is received from the Bureau of ATF.
4. If the firearm transaction cannot be completed immediately, please void the transfer.
5. Always **initial** and **date** any **corrections** you make on the form.
6. **RECORDKEEPING REQUIREMENTS:** Pursuant to Title 18, U.S.C., Chapter 44, the transferor and the transferee, as firearm licensees, shall record their disposition and acquisition of the described firearm as required by subpart H of Title 27 CFR, Part 178.

## PAPERWORK REDUCTION ACT NOTICE

This form is in accordance with the Paperwork Reduction Act of 1995. The information you provide will be used to apply to transfer firearms tax exempt from one Federal firearms licensee and special (*occupational*) taxpayer qualified to deal in NFA firearms to another qualified special taxpayer. The data is used to verify lawful transfer and registration of firearms. The information being furnished is mandatory (26 U.S.C. 5812).

The estimated average burden associated with this collection of information is 30 minutes per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be addressed to the Reports Management Officer, Document Services Branch, Bureau of Alcohol, Tobacco and Firearms, Washington, DC 20226.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

## PRIVACY ACT INFORMATION

1. **AUTHORITY.** Solicitation of this information is made pursuant to the National Firearms Act (26 U.S.C. §5812 and 5851 and 5852). Disclosure of this information by the applicant is mandatory for any person (*other than a manufacturer qualified under the National Firearms Act*) making a firearm as defined in the National Firearms Act.
2. **PURPOSE.** To verify the tax exemption imposed by 26 U.S.C. § 5851; to determine that the transfer would not be in violation of law; and to effect registration of the firearm.
3. **ROUTINE USES.** The information will be used by ATF to make the determinations set forth in paragraph 2. In addition, to effect registration of the firearm, information as to the identification of the firearm, date of registration, and the identification and address of person entitled to possess the firearm will be entered into the National Firearms Registration and Transfer Record. No information obtained from an application, registration, or records required to be submitted by a natural person in order to comply with any provision of the National Firearms Act or regulations issued thereunder, shall, except in connection with prosecution or other action for furnishing false information, be used, directly or indirectly, as evidence against that person in any criminal proceeding with respect to a violation of law occurring prior to or concurrently with the filing of the application. The information from this application may only be disclosed to Federal authorities for purpose of prosecution for violation of the National Firearms Act.
4. **EFFECTS OF NOT SUPPLYING INFORMATION REQUESTED.** Failure to supply complete information will delay processing and may cause denial of the application.